

New Zealand GAP (GLOBALGAP Equivalent) Checklist



**Certification Body chosen
for this year:**

Date:

Phone:

Manual Number:

Fax:

Trading Name:

Mobile:

Person Responsible:

Email:

Position:

Site Address:

Postal Address:

Crops:

Area of crops (ha or m²):

(for 12 month period)

Subcontractors

Where the Grower utilises subcontractors, have they been audited to the GLOBALGAP Standard by a certification body?

Task / Service	Contractors name	Contact details (name & phone)	Audited Y/N	Audited by (C.B.)

New Applications

All critical and major non - compliances need to be met before accreditation is provided.
The sections of this checklist to be inspected are described in section 6.2 of the NZGAP Scheme Rules.

Approved Suppliers

Critical non compliance at any assessment may result in suspension.
Major non compliances need to be met within the agreed timeframe, otherwise suspension will result.


Categories

'C' is a critical non - compliance.
'M' is a major non - compliance.
'R' is a recommendation only.

Comments

Comments are required for all Critical requirements; whether compliant or not, for external and internal assessments.
Comments shall be included for all non compliant requirements and these shall be reflected on the CB's assessment report.

“No N/A”

 Denotes a requirement where 'not applicable' does not apply.

1. Management Responsibility

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
1.1	Who is the designated person responsible for compliance with the New Zealand GAP Manual and the Codes of Best Practice, including the health, safety and welfare of those working on, or visiting the property(s) and site/product security?					C
1.2	Have internal self assessments been carried out, corrective actions taken and documented, at least annually					C
1.3	Are records kept for a period of at least 2 years, or longer if specifically required.					C

2. Complaints / Corrective Action

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
2.1	Is there a documented system in place for recording complaints?					C
2.2	Does the documented complaints system include: <ul style="list-style-type: none"> • who made the complaint, • the date of the complaint, • what was the complaint, • what action was taken, • who took the complaint and signed it off to prevent reoccurrence? 					M

3. Product / Service Identification and Traceability

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
3.1	Is the NZGAP / GGN Certificate number used on product labels and in transactions, to identify certified product?					C
3.2	Are Service providers and customers aware of their obligations to prevent the misuse of their NZGAP & GGN numbers?					M
3.3	Are the NZGAP & GLOBALG.A.P trademarks, GGN and certificate numbers used according to the NZGAP Scheme rules, NZGAP License Agreement & GLOBALG.A.P General Regulations?					C
3.4	Is there an up to date property plan, or map(s), which details important site features and identifies and references, all production areas.					C
3.5	Is a system in place to record the production activities for each production area?					C
3.6	Is there a documented system in place for tracking and tracing products between the customer and the site of production?					C
3.7	Is a recall system in place? Is it documented and able to provide product / service withdrawal / replacement? Has the recall system been tested annually?					C
3.8	Are there documented procedures for the control of non conforming product or service? <ul style="list-style-type: none"> • e.g. segregation, rejection, regrading • are records available? 					C
3.9	Has a risk assessment been completed that covers the security of food (food defence)?					C

4. Production Management

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
4.1	Has an evaluation of new production sites, and for all sites at initial audit, for risks to food safety and the environment been completed using the decision diagram in G3.1. Has the risk assessment been updated where changes have occurred?					C
4.2	Is a management plan in place that includes actions and strategies to manage the risks identified in the Food Safety & Environment risk assessments (G3.1)					M
4.3	Have soil maps or descriptions been prepared for the farm?					R
4.4	Are there records to confirm that propagation material (seeds and nursery stock) are true to type, acceptable quality, free from pests and diseases and meet all applicable industry and regulatory requirements? This includes monitoring records for propagation material that is grown on the property.					M
4.5	Are records kept of the sowing or planting rate, method and date?					M
4.6	Are crops grown and harvested in accordance with sustainable horticultural practices considering: <ul style="list-style-type: none"> • crop rotation, • field cultivation techniques to minimise soil erosion and compaction, • maintaining soil organic matter (e.g. grassed rows, composting) • Local Authority requirements? 					M
4.7	Is there a wildlife & conservation strategy for the property?					M
4.8	Does the conservation strategy should consider the following: <ul style="list-style-type: none"> • Compatibility with normal horticultural practices e.g. energy efficient machinery. • Minimised environmental impact, e.g. IPM, nutrient management plans. • Establishing a baseline • Rectifying damaged or deteriorated areas of the property and converting unproductive sites. • Improving the existing habitats and increasing diversity. 					R
4.9	Is energy use monitored and are opportunities to improve energy efficiency identified?					R

5. Fertiliser

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
5.1	If advice on fertiliser application is obtained from an adviser, is the adviser able to illustrate their competence by providing evidence of appropriate training and/or qualifications? If advice is not obtained from an adviser does the grower follow the relevant sections of the Code of Practice for Nutrient Management?					M
5.2	Is a nutrient management plan in place for the selection and use of fertilizer? Does the plan include: <ul style="list-style-type: none"> • Testing for fertiliser requirements • Types of fertilisers (including composts) to be used and their nutrient contributions • Chemical content, including heavy metals. 					M
5.3	Is information about the NPK composition of the fertiliser available?					M
5.4	Is information about the heavy metal composition of the fertiliser available.					R
5.5	Is there a system for recording the application of fertilisers, nutrients and conditioners. (including both soil and foliar applications). Records include the following: <ul style="list-style-type: none"> • fertiliser type including N, P, K • amount applied, • placement (side-dress, base application, liquid application and compost), • date of application, • block location and crop applied to, • operator / applicator name 					M
5.6	Are fertilisers stored in a clean, covered, dry area where the risk of contamination of the fertiliser, the environment and water sources, is reduced and are fertilisers segregated from agrichemicals?					M
5.7	Are fertilisers stored physically separate from produce?					C
5.8	Is there an up to date inventory of stored fertilizers?					M
5.9	Has the grower evaluated the risks associated with manure and other natural fertilisers using the decision diagram in Section G3.3?					C
5.10	Is human sewage sludge and sewage water not used?					C

6. Pest and Disease Control / Agrichemicals (This section covers crops, seed, soil and nursery stock)

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
6.1	Is there a list of products authorised for use in NZ on the crops being grown? eg: Industry Spray Programme, Novachem Manual					M
6.2	Are agrichemicals that have label recommendations for the crop being protected considered before those without label recommendations?					C
6.3	Are invoices kept for agrichemicals purchased?					M
6.4	Does the grower justify chemical usage on crops, seed and nursery stock including: <ul style="list-style-type: none"> • the target, • the pest, disease and weed threshold levels used, • suitability of the chemical for the control required, the environment and worker safety. 					C
6.5	Is there justification for the application of soil fumigants? Are records of soil fumigation treatments kept, including: location (block reference), application date, active ingredient, application rate, method of application, name of applicator?					M
6.6	Are pre-planting intervals complied with ?					M
6.7	Has assistance with the implementation of IPM systems been obtained through training and/or extension as part of industry specific IPM programmes, or from qualified advisors?					M
6.8	Are products selected so that pest resistance to the agrichemical is minimised? Including following label instructions and industry guidelines.					M
6.9	Has the grower implemented at least one activity that appears in each of the three main IPM topic areas in section G3.4.1 (i.e. one within each of the 'Prevention', 'Observation and Monitoring', and 'Intervention' categories).					C

6.10	If advice on chemical application is obtained, does the grower take account of and request evidence for, the advisors training qualifications, professional development & experience.					C
6.11	Do staff handling agrichemicals have access to annual health checks?					R
6.12	Are agrichemicals handled and mixed in accordance with the New Zealand Standard NZS 8409; Management of Agrichemicals. Do mixing stations include: <ul style="list-style-type: none"> • Personal protective equipment. • Accident and emergency procedures within 10m of the store. • Facilities and capability to deal with accidents and emergencies. 					M
6.13	Is the appropriate protective clothing used if handling chemicals? Are protective clothing, gloves, respirator available and are they stored separate from agrichemicals?					C
6.14	Is appropriate protective clothing and equipment used for the job, cleaned after use, stored in a secure place and regularly maintained?					C
6.15	Is a spray diary kept including: <ul style="list-style-type: none"> • Actual date of application and time of day. • Crop name and/or variety sprayed (includes seed & propagation material). • Location / block sprayed or treated, (consistent with traceability system). • Agrichemical materials (trade name) and strength (rate) used. • Preplanting interval 					C
6.16	Does the spray diary include: <ul style="list-style-type: none"> • Target pest. (includes seed & propagation material treatment). • Volume / quantity applied. • Harvest date of crop by location / block sprayed, (consistent with traceability system employed). • Person responsible for the application decision. • Name of the person responsible for the application. • Weather conditions • Sprayer type • If applicable, IPM system adopted, 					M
6.17	Have preharvest, or pre planting, intervals been complied with?					C

6.18	If a contact re-entry requirement is stated on the agrichemical label or on other product information, is it applied? Where there is no stated re-entry time, the spray must be fully dry on the plant.					C
6.19	Is there access to up to date information of agrichemicals and other hazardous substances used, that are authorized for use in NZ ? (e.g. Novachem Manual, Safety Data Sheets)					M
6.20	Are NZ and importing country MRL's documented? eg. from Ministry for Primary Industries website.					C
6.21	Where MRL's in importing countries are stricter than in NZ how does the producer ensure these are able to be met? e.g. following industry spray programmes that take into account destination markets or by modifying application practices e.g. extended pre-harvest interval.					C
6.22	Has the producer completed a risk assessment to determine if the products will be compliant with the MRL's of the country of destination?					C
6.23	Based on the outcome of the risk assessment does the grower undertake residue tests as part of an industry residue testing programme or independently?					C
6.25	If residue tests are taken are: <ul style="list-style-type: none"> • correct sampling procedures followed • residue testing laboratories accredited to ISO17025. 					M
6.26	Is an action plan in place in the event that an MRL is exceeded?					C
6.27	Are agrichemicals stored in a designated store that is secure and locked when not in use?					C

6.28	<p>Are agrichemicals stored in accordance with the New Zealand Standard, NZS8409 "Management of Agrichemicals" and its amendments and include:</p> <ul style="list-style-type: none"> • Being stored in a structurally sound facility that is fire resistant and appropriate to the temperature conditions • Being away from heating, ignition or combustion sources • Being locked when not in use (access restricted to trained staff) • Adequate ventilation and (spark resistant) lighting • There is a supply of water nearby the location • Displayed placard (e.g. HAZCHEM) • Accident and emergency procedures within 10m of the store. 					M
6.29	<p>Does the Agrichemical store include:</p> <ul style="list-style-type: none"> • non absorbent shelving • appropriate spillage retention and clean up equipment & measures • facilities and capability to deal with accidents and emergencies. 					M
6.30	<p>Are agrichemicals stored</p> <ul style="list-style-type: none"> • physically separate from, or segregated from, fertilisers (except packaged foliar nutrients) • with powders stored above liquids • with packages closed when not in use • keeping spray containers in good condition • Agrichemicals registered for use on GlobalG.A.P.certified crops segregated from other agrichemicals. 				;	M
6.31	Are original labels on spray containers?					C
6.32	Are there appropriate facilities and equipment for measuring and mixing agrichemicals, that are checked annually for accuracy?					C
6.33	Is there a current inventory of stored agrichemicals, which is held away from the store?					M
6.34	Is the use of spray containers for purposes other than containing agrichemicals avoided?					M
6.35	Are empty chemical containers triple rinsed or rinsed using an integrated pressure rinsing device, with the rinsate returned to the tank?					C

6.36	<p>Is the Agrecovery agrichemical container programme used to dispose of waste or unwanted plastic agrichemical containers belonging to participating agrichemical manufacturers.</p> <ul style="list-style-type: none"> • Are empty containers held in a secure storage area awaiting recycling? • Are the Agrecovery receipts available? 					M
6.37	<p>Is unwanted / unused spray mix / chemical mix disposed of appropriately?</p> <ul style="list-style-type: none"> • sprayed onto non producing areas where the agrichemical will not cause a hazard to food safety, stock or water ways, 					M
6.38	<p>Are obsolete or unwanted agrichemicals securely maintained and identifiable until disposal? Are records available that confirm that obsolete or unwanted agrichemicals have been disposed of through authorised collections ?</p>					M
6.39	<p>If substances, other than those covered by the Agrichemical and Fertiliser sections, are used on crops and/or soil, are these registered for use in NZ and recorded? Do application records include the name of substance/ trade name, date and quantity.</p>					M

7. Irrigation and Water Quality

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
7.1	Is a documented irrigation water management plan used? Irrigation management should consider predicted rainfall and utilise data from rainfall records, total predicted and actual irrigation water applied and evaporation.					R
7.2	Does the grower hold current consents, or other regional Council approvals, for water extraction?					C
7.3	Is the most efficient and practical irrigation method employed so water utilization is optimised and waste is minimised?					C
7.4	Are records of irrigation application kept?					R
7.5	Is water used for production (e.g. irrigation, spray application) evaluated at least annually, against the decision diagram in G6 for the risk of microbial and chemical contamination?					C
7.6	Where used, are laboratories undertaking water testing accredited to ISO 17025?					R
7.7	If ice or water is used during any operations relating to harvest, is it made with potable water and handled under sanitary conditions to prevent produce contamination.					C

8. Product & Staff Safety

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
<i>Food safety risk assessment & instructions</i>						
8.1	Has a food safety risk assessment, including consideration of the biological (human transmittable diseases), chemical and physical risks to fresh produce been completed? Is the risk assessment reviewed and updated annually?					M
8.2	Have instructions for crop harvest been documented covering areas identified in the hygiene risk assessment? Are these instructions made available to staff (including contractors)?					C
8.3	Have harvest workers, or those handling produce, been trained in the documented hygiene requirements. Is this training recorded?					C
8.4	Do management provide instructions for hygiene requirements eg: written notices, signs or pictures that are displayed in the appropriate areas?					C
8.5	Is there evidence that the crop production area are free from animal activity, which is a potential food safety risk?					M
<i>Health & safety risk assessment and instructions</i>						
8.6	Has an occupational safety and health (OSH) assessment been undertaken at least annually or when a change occurs.					M
8.7	Based on the health and safety risk assessment, are documented procedures in place to manage the risks identified?					M
8.8	Are accident and emergency procedures in place and are instructions made available to staff and visitors?					M
8.9	Are hazards clearly identified with signs?					M
8.10	Is a first aid kit available to all staff?					M
8.11	Is a qualified First Aid person easily and quickly accessible? (this may include the local Doctor).					M
<i>Facilities & Amenities</i>						
8.12	Do Management provide staff and visitors with adequate and appropriate toilet facilities and hand washing with clean water and soap or hand disinfectant?					C

8.13	Are there clean rest areas for eating and drinking, including drinking water? Are there adequate handwashing facilities available? Are smoking areas (unless the property is a smokefree workplace) separate from the harvest areas.					M
<i>Cleaning & Waste Management</i>						
8.14	Have sources of waste and pollution been identified?					M
8.15	Is there a plan to avoid or reduce waste and pollution on property?					R
8.16	Is the property free from the build up of waste and signs of pollution such as fuel or chemical spills?					C
8.17	Is a cleaning plan in operation for facilities used for receiving, storing, displaying and grading produce or packaging (including field rigs)? • are there specified frequencies for cleaning? are records kept of who did the work, when, what was done, the actions taken and whether the actions were effective					C
8.18	Are cleaning agents and lubricants stored safely and securely? • is any contamination of produce prevented? • are they out of reach of children?					M
8.19	Are cleaning agents, lubricants etc, that may come into contact with produce, food grade? Are label instructions for use followed?					M
8.20	If on-site accommodation is provided for employees, is it habitable and has as a minimum, basic services and facilities?					M

9 Harvest and Field Packing

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
9.1	Where packed product is stored on farm, are storage conditions, including temperatures and (where applicable) relative humidity maintained at an appropriate level and recorded?					C
9.2	Is field packed product protected from contamination, eg soil, birds and animals, while awaiting transportation?					C
9.3	Is packaging used for field packing clean and hygienic, and protected from contamination when stored?					C
9.4	Are production areas free from waste, including packaging material?					M

10. Vehicles, \ Equipment and Machinery

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
10.1	Is equipment and machinery that comes into contact with the produce clean and hygienic? eg: harvesting tools and equipment, field bins and packaging. Are there records?					C
10.2	Are schedules in place for cleaning and maintenance of produce transport vehicles including vehicles that transport materials other than fresh produce?					C
10.3	Is irrigation, spraying and fertiliser application equipment calibrated at least annually?					M
10.4	Where available does the grower participate in an independent calibration scheme for fertilizer and agrichemical application equipment?					R

11. Training

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
11.1	Does management have a training plan, including instructions and procedures from the relevant health and safety and food safety risk assessments, applicable for all staff, including annual refresher training for existing staff, new staff and staff requiring further training?,					C
11.2	Are instructions for crop harvest documented, covering areas identified in the Hygiene risk assessment and are they available to staff?					C
Spare						
11.4	Do workers operating dangerous or complex equipment have adequate training, including licenses or certificates where required?					C
11.5	Is training recorded for all trainees?					M
11.6	Are farm hygiene, health & safety and security procedures implemented? Are staff monitored regularly to ensure that hygiene, health & safety and security (food defense), practices are implemented? This includes observing the routine practices of staff and use of equipment and facilities.					C

12. Produce Handling, Storage, Packaging and Delivery (Packhouses and Coolstores)

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
<i>Food safety & hygiene</i>						
12.1	Has a food safety risk assessment been completed for the harvested crop, including consideration of the biological (human transmittable diseases), chemical and physical risks to fresh produce? Is the risk assessment reviewed and updated annually?					C
12.2	Have instructions and procedures for produce handling been documented covering areas identified in the hygiene risk assessment? Are these instructions made available to staff?					C
12.3	Have those handling produce, been trained in the documented hygiene requirements. Is this training recorded?					C
12.4	Are there policies on the wearing of outer garments (e.g. smocks), watches and jewellery? Is the policy appropriate to facility/site/property (allowed / not allowed / removed / covered)? Secure changing facilities may be required according to the clothing policy					M
<i>Facilities and amenities</i>						
12.5	Are there clean rest areas for eating and drinking, including drinking water? Are there adequate handwashing facilities available? Are smoking areas (unless the property is a smokefree workplace) separate from the main packing areas, with signage.					M
12.6	If hygiene clothing or outer garments are provided to workers, are changing facilities provided including lockable storage facilities for belongings?					R
12.7	Do Management provide staff and visitors with adequate and appropriate toilet facilities and hand washing with clean water and soap or hand disinfectant?					C
12.8	Do management provide instructions for hygiene requirements eg: written notices, signs or pictures that are displayed in the appropriate areas.					M

12.9	Are signs clearly displayed instructing workers to wash their hand before returning to work?					C
12.10	Is a first aid kit available to all staff?					M
<i>Staff and supervision</i>						
12.11	Are staff monitored regularly to ensure that security (food defense), produce handling / hygiene and health and safety practices are implemented. This includes observing the routine practices of staff and use of equipment and facilities.					M
<i>Packing and storage areas</i>						
12.12	Are the packing and storage facilities clean and maintained? (e.g. walls floors, etc)					M
12.13	Is equipment and machinery that comes into contact with the produce clean and hygienic? (e.g. packing lines, grading tables)					M
12.14	Is packaging clean and hygienic and protected from contamination when stored?					M
12.15	Are shatterproof lights or coved lighting units used over sorting, weighing, inspection and storage areas?					C
12.16	Is there a documented procedure for cleaning up broken glass or brittle plastic?					M
12.17	Are cleaning agents, lubricants etc, that may come into contact with produce, food grade? Are label instructions for use followed?					M
12.18	Are cleaning agents and lubricants stored safely and securely?					M
12.19	Is electric or gas powered machinery (e.g. forklifts), used around packed produce, especially ethylene sensitive crops.					R
<i>Postharvest washing</i>						
12.20	Is there documentation to show that wash water has been evaluated as per the decision diagram in H6 for risk of microbial and chemical contamination					C
12.21	Where used, are laboratories undertaking water testing accredited to ISO 17025?					R
12.22	Where water is recirculated for final product washing, are measures in place to maintain water quality (e.g filtering or chemical treatment) and is water quality routinely monitored (e.g. pH tests)? Are records of the treatment and monitoring kept?					C
<i>Waste and pollution</i>						

12.23	Is a cleaning plan in operation for facilities used for receiving, storing, displaying, and grading produce or packaging? -are there specified frequencies for cleaning? -are records kept of who did the work, when, what was done, the actions taken and whether the actions were effective					C
12.24	Are bulk waste storage facilities, including for waste produce, separate from the main packhouse, storage and coolstore facilities and production areas? Is waste regularly removed and the area cleaned at a specified frequency?					M
<i>Animals and pests</i>						
12.25	Is the packhouse and cool store constructed to minimize the entrance of animals? eg: rodents and birds.					M
12.26	Is animal access to the facility restricted (e.g. domestic pets)?					M
12.27	Is the build up of pest populations monitored? Are suitable methods used to control pests? Is the pest control programme effective?					M
<i>Coolstorage</i>						
12.28	Where packed produce is stored on the farm, are storage conditions, including temperatures and (where applicable) relative humidity, maintained at an appropriate level and recorded?					C
12.29	Are storage cooling facilities calibrated to the manufacturer's specifications and recorded?					C
<i>Equipment calibration and maintenance</i>						
12.30	Is measuring equipment, e.g. scales, thermometers, refractometers) regularly checked for accuracy? (frequency is dependent on use).					M

13. Postharvest Treatments

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
13.1	Are all products used for post harvest treatments registered for use in New Zealand?					C
13.2	Is there an up to date list of post harvest treatments that may be used on the crop. E.g. industry programmes, Novachem manual).					M
13.3	Are people applying post harvest treatments adequately trained or certified to handle and apply the products?					C
13.4	Are products used for post harvest treatments stored in a manner to avoids contamination of produce and other materials?					C
13.5	Are label instructions for postharvest treatments observed?					C
13.6	Are postharvest records maintained, including the following: <ul style="list-style-type: none"> • Name of applicator • Justification for application • identification of lot or batch • where the treatment was done (e.g.name of facility or area) • date of treatment • application method • product trade name • product quantity 					C
13.7	Are records maintained for postharvest products, including: <ul style="list-style-type: none"> • name of operator • justification for application 					M
13.8	Has water used during post harvest treatments been evaluated using the decision diagram in H6 for risk of microbial and chemical contamination?					C
13.9	Are all of the post-harvest plant protection product applications also considered under points 6.19 - 6.26?					C

14. Greenhouse Production

Ref	Question	Y	N	NA	Comment and/or Agreed Action	Level
14.1	Does the grower participate in substrate recycling programs for substrates where available?					R
14.2	If chemicals are used to sterilize substrates for reuse, have the location, the date of sterilization, type of chemical, method of sterilization, name of the operator and pre-planting interval been recorded?					C
14.3	If substrate of natural origin is used, can it be demonstrated that it does not come from designated conservation areas?					R

14.4	Are there written glass and clear hard plastic handling procedures in place for greenhouses?					M
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Agreed date for completion of corrective actions:

Is a follow up within 12 months required?:

Reason for follow up assessment:

Name Assessor:

Signature Assessor:

Signature Person Responsible:
